

**FEC  
FORM 3X****REPORT OF RECEIPTS  
AND DISBURSEMENTS**  
For Other Than An Authorized Committee

Office Use Only

1. NAME OF  
COMMITTEE (in full)**USE FEC MAILING LABEL  
OR TYPE OR PRINT**Example: If typing, type  
over the lines

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street)

1101 New York Avenue, NW

8th Floor

☐ Check if different  
than previously  
reported. (ACC)

Washington

DC

20005

2. **FEC IDENTIFICATION NUMBER**

CITY

STATE

ZIP CODE

C00431312

3. IS THIS  
REPORT☒NEW  
(N)

OR

☐AMENDED  
(A)4. **TYPE OF REPORT**

(Choose One)

(a) Quarterly Reports:

- ☐ April 15  
Quarterly Report(Q1)
- ☐ July 15  
Quarterly Report(Q2)
- ☐ October 15  
Quarterly Report(Q3)
- ☐ January 31  
Quarterly Report(YE)
- ☐ July 31 Mid-Year  
Report(Non-election  
Year Only) (MY)
- ☐ Termination Report  
(TER)

(b) Monthly  
Report  
Due On:☐

Feb 20 (M2)

☐

May 20 (M5)

☐

Aug 20 (M8)

☐Nov 20 (M11)  
(Non-Election  
Year Only)☐

Mar 20 (M3)

☐

Jun 20 (M6)

☐

Sep 20 (M9)

☐Dec 20 (M12)  
(Non-Election  
Year Only)☐

Apr 20 (M4)

☒

Jul 20 (M7)

☐

Oct 20 (M10)

☐

Jan 31 (YE)

(c) 12-Day  
**PRE**-Election  
Report for the:☐

Primary (12P)

☐

General (12G)

☐

Runoff (12R)

☐

Convention (12C)

☐

Special (12G)

Election on

in the  
State of(d) 30-Day  
**Post**-Election  
Report for the:☐

General (30G)

☐

Runoff (30R)

☐

Special (30S)

Election on

in the  
State of

5. Covering Period

06

01

2011

through

06

30

2011

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer

Mr. Kenneth E. Bentsen, Jr.

Signature of Treasurer

Electronically Filed by Mr. Kenneth E. Bentsen, Jr.

Date

07

20

2011

NOTE : Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g.

Office  
Use  
Only**FEC FORM 3X**  
(Rev. 12/2004)

# SUMMARY PAGE

## OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M M  
0 6D D  
0 1Y Y Y Y  
2 0 1 1

To:

M M  
0 6D D  
3 0Y Y Y Y  
2 0 1 1

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1 <span>2011</span>		256466.58
(b) Cash on Hand at Beginning of Reporting Period .....	246586.12	
(c) Total Receipts (from Line 19) .....	12328.68	100006.65
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) .....	258914.80	356473.23
7. Total Disbursements (from Line 31) .....	29701.08	127259.51
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	229213.72	229213.72
9. Debts and Obligations owed <b>TO</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00	
10. Debts and Obligations owed <b>BY</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00	

☒ This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

### For further information contact:

Federal Election Commission  
999 E street, NW  
Washington, DC 20463

Toll Free 800-424-9530  
Local 202-694-1100

# **DETAILED SUMMARY PAGE OF RECEIPTS**

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M	D	D	Y	Y	W	Y
0	6	0	1	2	0	1	1

To:

M	M	D	D	Y	Y	W	Y
0	6	3	0	2	0	1	1

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A) .....	11973.62	63993.74
(ii) Unitemized .....	153.98	4492.31
(iii) TOTAL (add Lines 11(a)(i) and (ii) .....	12127.60	68486.05
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs) .....	0.00	25500.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5) .....	12127.60	93986.05
12. Transfers From Affiliated/Other Party Committees .....	0.00	0.00
13. All Loans Received .....	0.00	0.00
14. Loan Repayments Received .....	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5) .....	201.08	1020.60
16. Refunds of Contributions Made to Federal candidates and Other Political Committees .....	0.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.) .....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3) .....	0.00	0.00
(b) Levin Funds (from Schedule H5) .....	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c)) .....	12328.68	100006.65
20. Total Federal Receipts (subtract Line 18(c) from Line 19) .....	12328.68	100006.65

II. DISBURSEMENTS		COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:			
(a) Shared Federal/Non-Federal Activity (from Schedule H4)			
(i) Federal Share.....	0.00	0.00	
(ii) Non-Federal Share.....	0.00	0.00	
(b) Other Federal Operating Expenditures.....	201.08	1020.60	
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b)).....	201.08	1020.60	
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00	
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	29500.00	126000.00	
24. Independent Expenditure (use Schedule E) .....	0.00	0.00	
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00	
26. Loan Repayments Made.....	0.00	0.00	
27. Loans Made.....	0.00	0.00	
28. Refunds of Contributions To:			
(a) Individuals/Persons Other Than Political Committees .....	0.00	0.00	
(b) Political Party Committees .....	0.00	0.00	
(c) Other Political Committees (such as PACs) .....	0.00	0.00	
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)) .....	0.00	0.00	
29. Other Disbursements.....	0.00	238.91	
30. Federal Election Activity (2 U.S.C 431(20))			
(a) Shared Federal Election Activity (from Schedule H6)			
(i) Federal Share .....	0.00	0.00	
(ii) "Levin" Share .....	0.00	0.00	
(b) Federal Election Activity Paid Entirely With Federal Funds .....	0.00	0.00	
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00	
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	29701.08	127259.51	
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	29701.08	127259.51	

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) from Line 11(d), page 3) .....	12127.60	93986.05
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	12127.60	93986.05
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	201.08	1020.60
37. Offsets to Operating Expenditures (from Line 15, page 3) .....	201.08	1020.60
38. Net Operating Expenditures (subtract Line 37 from Line 36) .....	0.00	0.00

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 / 29

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Craig W. Laraia

Mailing Address 65 East 55th Street  
9th FlCity State Zip Code  
New York NY 10022-3219FEC ID number of contributing  
federal political committee.**C**Name of Employer  
RBC Dain Rauscher Inc.Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	6	/	0	6	/	2	0	1	1

Transaction ID: 19178905

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 120 Broadway  
35th FloorCity State Zip Code  
New York NY 10271-3599FEC ID number of contributing  
federal political committee.**C**Name of Employer  
Securities Industry and  
Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

423.50

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	6	/	0	3	/	2	0	1	1

Transaction ID: 19249166

Amount of Each Receipt this Period

38.50

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Joseph M. Vaughan

Mailing Address 1101 New York Avenue, NW  
Suite 800City State Zip Code  
Washington DC 20005-4279FEC ID number of contributing  
federal political committee.**C**Name of Employer  
Securities Industry and  
Financial MarkOccupation  
Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.25

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	6	/	0	3	/	2	0	1	1

Transaction ID: 19249167

Amount of Each Receipt this Period

28.85

Contribution

SUBTOTAL of Receipts This Page (optional) .....

567.35

TOTAL This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

307.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249168

Amount of Each Receipt this Period

38.50

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

229.80

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249169

Amount of Each Receipt this Period

19.23

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249171

Amount of Each Receipt this Period

38.50

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

96.23

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2115.85

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249172

Amount of Each Receipt this Period

192.35

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms Kim Chamberlain

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249174

Amount of Each Receipt this Period

38.50

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

761.53

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249175

Amount of Each Receipt this Period

69.23

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

300.08

**TOTAL** This Period (last page this line number only) .....



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 9 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Senior Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1100.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249176

Amount of Each Receipt this Period

100.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. Kyle Brandon

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director, DOR

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

385.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249178

Amount of Each Receipt this Period

77.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW

City State Zip Code  
Washington DC 20005-4213

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1057.65

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 3 / 2 0 1 1

Transaction ID: 19249181

Amount of Each Receipt this Period

96.15

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

273.15

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 10 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. James J. Tricoli

Mailing Address 709 Great Springs Road

City

Bryn Mawr

State

PA

Zip Code

19010-1703

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249182

Amount of Each Receipt this Period

1000.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Christopher Hamel

Mailing Address 6030 E. Mariposa Street

City

Scottsdale

State

AZ

Zip Code

85251-1935

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249183

Amount of Each Receipt this Period

1000.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Robert E. Spangler

Mailing Address 61 Bridle Path Lane

City

New Canaan

State

CT

Zip Code

06840-3906

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249185

Amount of Each Receipt this Period

1000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

3000.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 11 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Daniel Heimowitz

Mailing Address 136 East 79th Street

City

New York

State

NY

Zip Code

10075-0328

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249186

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Duncan Lamme

Mailing Address 3043 Reba

City

Houston

State

TX

Zip Code

77019-6203

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249187

Amount of Each Receipt this Period

500.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Helen Feinberg

Mailing Address 702 Pass-a-Grille Way

City

St. Pete Beach

State

FL

Zip Code

33706

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249189

Amount of Each Receipt this Period

500.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Matt Boles

Mailing Address 4659 Belclaire Avenue

City

Dallas

State

TX

Zip Code

75209-6003

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249190

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. Kathleen A. Costine

Mailing Address 200 Vesey Street, 12th Floor

City

New York

State

NY

Zip Code

10285-1000

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249191

Amount of Each Receipt this Period

500.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Rod A. Carter

Mailing Address 5636 Park Oak Place

City

Los Angeles

State

CA

Zip Code

90068-2546

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249192

Amount of Each Receipt this Period

500.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 13 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Daniel B. Burton

Mailing Address 634 Northfield Road

City

Lititz

State

PA

Zip Code

17543-8355

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249193

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. John Puig

Mailing Address 4 Chestnut Hill Road North

City

Loudonville

State

NY

Zip Code

12211-1661

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249194

Amount of Each Receipt this Period

500.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Todd I. Braff

Mailing Address 189 Green Hills Road

City

Cincinnati

State

OH

Zip Code

45208-3421

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249195

Amount of Each Receipt this Period

500.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Paul J. Cassidy

Mailing Address 6200 Uptown Boulevard Northeast  
Suite 110

City State Zip Code  
Albuquerque NM 87110-4160

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
RBC Capital Markets

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249196

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Shawn Dralle

Mailing Address 90 W. Virginia Avenue

City State Zip Code  
Phoenix AZ 85003-1000

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
RBC Capital Markets

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249197

Amount of Each Receipt this Period

500.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Michael A. Baumrin

Mailing Address 577 4th Street

City State Zip Code  
Brooklyn NY 11215-3008

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
RBC Capital Markets

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249198

Amount of Each Receipt this Period

500.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 15 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Russell Heise

Mailing Address 430 Madison Street

City

Denver

State

CO

Zip Code

80206-4439

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 0 8 / 2 0 1 1

Transaction ID: 19249199

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 120 Broadway  
35th Floor

City

New York

State

NY

Zip Code

10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

462.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249208

Amount of Each Receipt this Period

38.50

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Joseph M. Vaughan

Mailing Address 1101 New York Avenue, NW  
Suite 800

City

Washington

State

DC

Zip Code

20005-4279

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

298.10

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249217

Amount of Each Receipt this Period

28.85

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

567.35

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
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☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

345.50

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249219

Amount of Each Receipt this Period

38.50

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.03

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249220

Amount of Each Receipt this Period

19.23

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249223

Amount of Each Receipt this Period

38.50

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

96.23

**TOTAL** This Period (last page this line number only) .....



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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FOR LINE NUMBER: PAGE 17 / 29

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2308.20

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249238

Amount of Each Receipt this Period

192.35

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms Kim Chamberlain

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249240

Amount of Each Receipt this Period

38.50

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

830.76

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249247

Amount of Each Receipt this Period

69.23

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

300.08

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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FOR LINE NUMBER: PAGE 18 / 29

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Senior Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1200.00

Date of Receipt

M M / D D / Y Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249248

Amount of Each Receipt this Period

100.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. Kyle Brandon

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director, DOR

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

462.00

Date of Receipt

M M / D D / Y Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249256

Amount of Each Receipt this Period

77.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW

City State Zip Code  
Washington DC 20005-4213

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1153.80

Date of Receipt

M M / D D / Y Y Y Y Y  
0 6 / 1 7 / 2 0 1 1

Transaction ID: 19249261

Amount of Each Receipt this Period

96.15

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

273.15

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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FOR LINE NUMBER: PAGE 19 / 29

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. John Dinkins

Mailing Address 4301 Forsythe Place

City

Nashville

State

TN

Zip Code

37205-4515

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
RBC Capital Markets

Occupation

Director of Managed Assets

Receipt For:

☐ Primary  
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 2 1 / 2 0 1 1

Transaction ID: 19249264

Amount of Each Receipt this Period

500.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

500.00

**TOTAL** This Period (last page this line number only) .....

11973.62

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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(check only one)

☐ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Securities Industry and Financial Markets Association

Mailing Address 120 Broadway  
Floor 35

City State Zip Code  
New York NY 10271

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1020.60

Date of Receipt

M M / D D / Y Y Y Y  
0 6 / 2 3 / 2 0 1 1

Transaction ID: 19250399

Amount of Each Receipt this Period

201.08

Bank Fees Reimbursement

**SUBTOTAL** of Receipts This Page (optional) .....

201.08

**TOTAL** This Period (last page this line number only) .....

201.08

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 21 / 29

☐ 21b ☐ 22 ☒ 23 ☐ 24 ☐ 25 ☐ 26  
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Stivers For Congress

Mailing Address 4679 Winterset Drive

City Columbus State OH Zip Code 43220

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Steve Stivers

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: OH District: 15

Transaction ID: 19137110

Date of Disbursement

06 / 01 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Scott Brown For Us Senate Committee

Mailing Address P.O. Box 395

City Wrentham State MA Zip Code 02093

Purpose of Disbursement  
Contribution

Candidate Name  
Sen. Scott Brown

011  
Category/  
Type

Office Sought: ☐ House  
☒ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: MA District:

Transaction ID: 19137201

Date of Disbursement

06 / 01 / 2011

Amount of Each Disbursement this Period

1500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Devin Nunes Campaign Committee

Mailing Address PO Box 6545

City Visalia State CA Zip Code 93290

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Devin G. Nunes

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: CA District: 21

Transaction ID: 19137207

Date of Disbursement

06 / 01 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional) .....

3500.00

TOTAL This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
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☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Judy Biggert For Congress

Mailing Address P.O. Box 637

City  
Hinsdale

State  
IL

Zip Code  
60522

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Judy Biggert

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: IL District: 13

Transaction ID: 19190056

Date of Disbursement

06 / 20 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Ed Royce For Congress

Mailing Address P.O. Box 2525

City  
Orange

State  
CA

Zip Code  
92859

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Edward Royce

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: CA District: 39

Transaction ID: 19190057

Date of Disbursement

06 / 20 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Montanans For Tester

Mailing Address PO Box 1135

City  
Helena

State  
MT

Zip Code  
59624

Purpose of Disbursement  
Contribution

Candidate Name  
Sen. Jon Tester

011  
Category/  
Type

Office Sought: ☐ House  
☒ Senate  
☐ President

Disbursement For: 2012  
☐ Primary ☒ General  
☐ Other (specify) ▼

State: MT District:

Transaction ID: 19190059

Date of Disbursement

06 / 20 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional) .....

3000.00

TOTAL This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b> Full Name (Last, First, Middle Initial) Rush Holt For Congress	<b>Transaction ID:</b> 19190060 <b>Date of Disbursement</b>
Mailing Address PO Box 782	<div> <div>06</div> <div>20</div> <div>2011</div> </div>
City Pennington State NJ Zip Code 08534	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution	<div>1000.00</div>
Candidate Name Rep. Rush D. Holt	<div>011</div> Category/Type
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NJ District: 12	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
Contribution	
<b>B.</b> Full Name (Last, First, Middle Initial) Steve Fincher For Congress	<b>Transaction ID:</b> 19190061 <b>Date of Disbursement</b>
Mailing Address PO Box 11153	<div> <div>06</div> <div>20</div> <div>2011</div> </div>
City Jackson State TN Zip Code 38308	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution	<div>1000.00</div>
Candidate Name Rep. Stephen Fincher	<div>011</div> Category/Type
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: TN District: 08	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
Contribution	
<b>C.</b> Full Name (Last, First, Middle Initial) Crowley For Congress	<b>Transaction ID:</b> 19190062 <b>Date of Disbursement</b>
Mailing Address 84-56 Grand Avenue	<div> <div>06</div> <div>20</div> <div>2011</div> </div>
City Elmhurst State NY Zip Code 11373	Amount of Each Disbursement this Period
Purpose of Disbursement Contribution	<div>1000.00</div>
Candidate Name Rep. Joseph Crowley	<div>011</div> Category/Type
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 07	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
Contribution	

**SUBTOTAL** of Disbursements This Page (optional) .....

**3000.00**

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 24 / 29

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b> Full Name (Last, First, Middle Initial) Michael Grimm For Congress	<b>Transaction ID:</b> 19190065 <b>Date of Disbursement</b>																				
Mailing Address 560 9th Street	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>6</td><td></td><td>2</td><td>0</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	6		2	0		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	6		2	0		2	0	1	1												
City Brooklyn State NY Zip Code 11215	Amount of Each Disbursement this Period																				
Purpose of Disbursement Contribution	<table border="1"> <tr> <td>1000.00</td> </tr> </table>	1000.00																			
1000.00																					
Candidate Name Rep. Michael Grimm	<table border="1"> <tr> <td>011</td> </tr> </table> Category/ Type	011																			
011																					
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 13	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼																				
Contribution																					
<b>B.</b> Full Name (Last, First, Middle Initial) David Schweikert For Congress	<b>Transaction ID:</b> 19190066 <b>Date of Disbursement</b>																				
Mailing Address 15749 E El Lago Blvd	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>6</td><td></td><td>2</td><td>0</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	6		2	0		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	6		2	0		2	0	1	1												
City Fountain Hills State AZ Zip Code 85268	Amount of Each Disbursement this Period																				
Purpose of Disbursement Contribution	<table border="1"> <tr> <td>1000.00</td> </tr> </table>	1000.00																			
1000.00																					
Candidate Name Rep. David Schweikert	<table border="1"> <tr> <td>011</td> </tr> </table> Category/ Type	011																			
011																					
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: AZ District: 05	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼																				
Contribution																					
<b>C.</b> Full Name (Last, First, Middle Initial) Friends Of Nan Hayworth	<b>Transaction ID:</b> 19190067 <b>Date of Disbursement</b>																				
Mailing Address 51 Gleneida Avenue	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>6</td><td></td><td>2</td><td>0</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	6		2	0		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	6		2	0		2	0	1	1												
City Carmel State NY Zip Code 10512	Amount of Each Disbursement this Period																				
Purpose of Disbursement Contribution	<table border="1"> <tr> <td>1000.00</td> </tr> </table>	1000.00																			
1000.00																					
Candidate Name Rep. Nan Hayworth	<table border="1"> <tr> <td>011</td> </tr> </table> Category/ Type	011																			
011																					
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 19	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼																				
Contribution																					

**SUBTOTAL** of Disbursements This Page (optional) .....

3000.00

**TOTAL** This Period (last page this line number only) .....



# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

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(check only one)

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☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.** Full Name (Last, First, Middle Initial)  
Bachus For Congress Committee

Mailing Address P.O. Box 131134

City Birmingham State AL Zip Code 35213

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Spencer Thomas Bachus, III

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: AL District: 06

Transaction ID: 19190072

Date of Disbursement

06 / 20 / 2011

Amount of Each Disbursement this Period

5000.00

Contribution

**B.** Full Name (Last, First, Middle Initial)  
Barney Frank For Congress Committee

Mailing Address PO Box 260

City Newtonville State MA Zip Code 02460

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Barney Frank

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: MA District: 04

Transaction ID: 19190073

Date of Disbursement

06 / 20 / 2011

Amount of Each Disbursement this Period

4000.00

Contribution

**C.** Full Name (Last, First, Middle Initial)  
Texans For Lamar Smith

Mailing Address PO Box 6155

City San Antonio State TX Zip Code 78209

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Lamar S. Smith

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: TX District: 21

Transaction ID: 19195085

Date of Disbursement

06 / 24 / 2011

Amount of Each Disbursement this Period

2000.00

Contribution

**SUBTOTAL** of Disbursements This Page (optional) .....

11000.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

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(check only one)

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☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Bucshon For Congress

Mailing Address PO Box 250

City  
Newburgh

State  
IN

Zip Code  
47629

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Larry Bucshon, MD

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: IN District: 08

Transaction ID: 19195087

Date of Disbursement

06 / 24 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Friends for Gregory Weeks

Mailing Address 219-10 South Conduit Avenue

City  
Springfield Garden

State  
NY

Zip Code  
11413

Purpose of Disbursement  
Contribution

Candidate Name  
Rep Gregory W. Weeks

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: NY District: 06

Transaction ID: 19195089

Date of Disbursement

06 / 24 / 2011

Amount of Each Disbursement this Period

2000.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Kevin Mccarthy For Congress

Mailing Address PO Box 12667

City  
Bakersfield

State  
CA

Zip Code  
93389

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Kevin McCarthy

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: CA District: 22

Transaction ID: 19204074

Date of Disbursement

06 / 30 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

**SUBTOTAL** of Disbursements This Page (optional) .....

4000.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
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☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Pat Roberts For U S Senate Inc

Mailing Address PO Box 433

City  
Great Bend

State  
KS

Zip Code  
67530

Purpose of Disbursement  
Contribution

Candidate Name  
Sen. Pat Roberts

011  
Category/  
Type

Office Sought: ☐ House  
☒ Senate  
☐ President

Disbursement For: 2014  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: KS District:

Transaction ID: 19204146

Date of Disbursement

06 / 30 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

John Campbell For Congress

Mailing Address 4590 Macarthur Boulevard  
Suite 500

City  
Newport Beach

State  
CA

Zip Code  
92660

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. John Campbell

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: CA District: 48

Transaction ID: 19204175

Date of Disbursement

06 / 30 / 2011

Amount of Each Disbursement this Period

1000.00

Contribution

**SUBTOTAL** of Disbursements This Page (optional) .....

2000.00

**TOTAL** This Period (last page this line number only) .....

29500.00

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b> Full Name (Last, First, Middle Initial) PNC Bank	<b>Transaction ID:</b> 19250389 <b>Date of Disbursement</b>																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>6</td><td></td><td>0</td><td>6</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	6		0	6		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	6		0	6		2	0	1	1												
City Washington State DC Zip Code 20005	<b>Amount of Each Disbursement this Period</b>																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td>132.62</td> </tr> </table>	132.62																			
132.62																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
<b>B.</b> Full Name (Last, First, Middle Initial) PNC Bank	<b>Transaction ID:</b> 19250390 <b>Date of Disbursement</b>																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>6</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	6		0	2		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	6		0	2		2	0	1	1												
City Washington State DC Zip Code 20005	<b>Amount of Each Disbursement this Period</b>																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td>42.94</td> </tr> </table>	42.94																			
42.94																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
<b>C.</b> Full Name (Last, First, Middle Initial) PNC Bank	<b>Transaction ID:</b> 19250391 <b>Date of Disbursement</b>																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>6</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	6		0	2		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	6		0	2		2	0	1	1												
City Washington State DC Zip Code 20005	<b>Amount of Each Disbursement this Period</b>																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td>23.85</td> </tr> </table>	23.85																			
23.85																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				

**SUBTOTAL** of Disbursements This Page (optional) .....

199.41

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City  
Washington

State  
DC

Zip Code  
20005

Purpose of Disbursement

Bank Fees

Candidate Name

001

Category/  
Type

Office Sought:

☐ House  
☐ Senate  
☐ President

Disbursement For:

☐ Primary ☐ General  
☐ Other (specify) ▼

State:

District:

Transaction ID: 19250392

Date of Disbursement

MM / DD / YYYY  
06 / 02 / 2011

Amount of Each Disbursement this Period

1.67

Bank Fees

SUBTOTAL of Disbursements This Page (optional) .....

1.67

TOTAL This Period (last page this line number only) .....

201.08